

## PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: U.S. Filing of International Application PCT/EP01/00517

Applicants: Tompkin et al.

Examiner: N/A

Serial No.: Unassigned

Group Art Unit: N/A

Filed: September 19, 2001

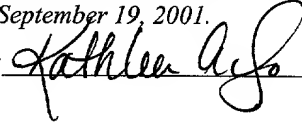
Docket: 1093-36 PCT/US

For: COIN WITH DIFFRACTION STRUCTURES

Dated: September 19, 2001

Assistant Commissioner for Patents  
Washington, D.C. 20231

*I hereby certify this correspondence is being deposited with  
the United States Postal Service as Express Mail No.  
EL922100946US, postpaid in an envelope, addressed to:  
Assistant Commissioner for Patents, Washington, D.C.  
20231 on September 19, 2001.*

Signature: **PRELIMINARY AMENDMENT**

The applicants hereby amend the above referenced application so that it is in proper form  
for examination.

**IN THE SPECIFICATION**

Please amend the specification as follows:

Page 1, after the title of the invention, insert the following:

--BACKGROUND OF THE INVENTION--

Page 2, after line 12, insert the following:

--SUMMARY OF THE INVENTION--

Page 2, after line 21, insert the following:

--BRIEF DESCRIPTION OF THE DRAWINGS--

Page 3, after line 8, insert the following:

--DESCRIPTION OF THE PREFERRED EMBODIMENTS--

**IN THE CLAIMS:**

Please amend the claims as follows:

1. (Amended) A coin having a metal surface structured with macroscopic reliefs for the representation of motifs which serve to specify the coin value and as a recognition feature, and fields of the surface, which are arranged on a circular ring around the center point of the coin and which have microscopically fine relief structures with a diffraction action and which form an optically machine-readable identification, wherein the relief structures in the fields are gratings which are of the same spatial frequency ( $f$ ), and that the relief structures differ by their azimuth ( $\Omega$ ) relative to the radial direction and/or by a symmetrical or asymmetrical relief profile.

2. (Amended) A coin having a metal surface structured with macroscopic reliefs for the representation of motifs which serve to specify the coin value and as a recognition feature, and fields of the surface, of which at least one has a microscopically fine relief structure with a diffraction action and which form an optically machine-readable identification, wherein the relief structures of the identification are selected from  $M$  groups of gratings, that the grating vectors of all gratings of the  $M$  groups are radially oriented, that in each of the  $M$  groups the spatial frequency ( $f$ ) of the relief structure is selected in dependence on the radial spacing ( $R$ ) of the field from the center point of the coin such that upon illumination of the relief structure by means of a light source in point form arranged perpendicularly above the center point, with the wavelength ( $\lambda$ ), one of the two partial beams of the diffracted light crosses the center point at a spacing ( $h_D$ ) which is predetermined for said group.

3. (Amended) A coin as set forth in claim 1 wherein the macroscopic relief structures are arranged on the bottom of recesses let into the surface of the coin.

4. (Amended) A coin as set forth in claim 3 wherein arranged in the recesses is a suitable portion of a plastic material laminate containing the relief structures.

5. (Amended) A coin as set forth in claim 1, wherein the microscopic relief structures are formed directly in the surface in the fields.

6. (Amended) A coin as set forth in claim 1, wherein the microscopic relief structures are covered over with a transparent protective lacquer which fills the grooves of the relief structures.

7. (Amended) A coin tester comprising a reading device which includes light sources, photodetectors and an electronic circuit connected to the light sources and the photodetectors and which is adapted for machine checking of the identification with relief structures of a coin rolling or sliding in a coin passage on a rolling surface, as set forth in claim 1, wherein a light source is arranged for illuminating a surface of the coin with approximately monochromatic light laterally in relation to the coin passage, that a chord of the coin which is 1.5 mm wide maximum and which is perpendicular to the rolling plane is illuminated with the perpendicularly incident light beams, that at least one photodetector is associated with each relative azimuth ( $\Omega$ ) of the gratings, which is admissible for identification of the coins, that a diffractive optical element for deflection of partial beams of the diffracted light of a field illuminated in the region of the chord at the height (H) is arranged between the coin passage and the photodetectors and that the diffractive optical element is adapted to rotate the diffraction plane defined by the partial beams through a rolling angle ( $\beta$ ) dependent on the height (H) with an axis of rotation parallel to the light beams upon the passage through the diffractive optical element, in such a way that after said passage the partial beams are oriented on to at least one photodetector associated with the azimuth ( $\Omega$ ).

8. (Amended) A coin tester as set forth in claim 7 wherein a pair of photodetectors is associated with each admissible relative azimuth ( $\Omega$ ), that after rotation of the diffraction plane to compensate for the rolling angle ( $\beta$ ) each of the two partial beams is oriented on to one of the two photodetectors of the pair associated with the predetermined relative azimuth ( $\Omega$ ), and that the electronic circuit is adapted by way of the photodetectors to detect asymmetry of the intensity of the two partial beams .

9. (Amended) A coin tester comprising a reading device which includes light sources, photodetectors and an electronic circuit connected to the light sources and the photodetectors and which is adapted for machine checking of the identification with relief structures of a coin rolling or sliding in a coin passage on a rolling surface, as set forth in claim 2, wherein an optical axis of the reading device is established by at least one photodetector and at least one light source in point form, that the optical axis is oriented perpendicularly with respect to a side wall of the coin passage and is at a spacing ( $a$ ) from the rolling surface, which corresponds to the radius of the coin to be tested, that the light source is arranged at a spacing ( $h_Q$ ) and each photodetector is arranged at a spacing ( $h_D$ ) from the surface of the coin such that monochromatic light of the wavelength  $\lambda$  emitted by the light source is diffracted by at least one relief structure of the coin to be tested as a partial beam towards the optical axis and is concentrated on the predetermined photodetector arranged at the spacing ( $h_D$ ), and that the electronic circuit is adapted to recognise the passage of the center point of the coin through the optical axis and the authenticity of the coin from the electrical signals of the photodetectors, which signals are proportional to the intensity of the partial beam.

10. (Amended) A coin tester as set forth in claim 7, wherein the monochromatic light beam from the light source is of a wavelength ( $\lambda$ ) from a number of predetermined wavelengths ( $\lambda_1, \lambda_2$ ), and that a command of the electronic circuit to the light source determines the wavelength ( $\lambda$ ) of the emitted light beam.

11. (Amended) A method of applying a microscopic relief structure to a comparatively hard material surface, wherein the microscopic relief structure is produced by the removal of material by means of exposure of the material surface with a laser beam.

12. (Amended) A method as set forth in claim 11 wherein the laser beam passes a mask determining the form of the microscopic relief structure and then an optical image-forming system for reduction purposes.

13. (Amended) A method as set forth in claim 11 wherein the laser in accordance with the method of dual beam interference produces on the material surface a microscopically fine interference pattern of a predetermined spatial frequency (f) and the material of the surface is removed at the locations of increased intensity in the interference pattern to produce the microscopic relief structure.

14. (Amended) A method of applying a microscopic relief structure to a comparatively hard material surface comprising:

applying a thin light-sensitive plastic material layer to the material surface,

exposing and developing the plastic material layer so that microscopically fine locations of the material surface are free of plastic material,

etching the material surface, with the microscopic relief structure being formed,  
and

removing the plastic material layer.

15. (Amended) A method as set forth in claim 11, wherein the material surface with the previously produced relief structures is hardened by nitriding.

**MARKED-UP VERSION SHOWING ALL CHANGES MADE****IN THE CLAIMS:**

Please amend the claims as follows:

1. (Amended) A coin [(1)] having a metal surface [(2; 3)] structured with macroscopic reliefs [(5)] for the representation of motifs which serve to specify the coin value and as a recognition feature, and fields [(14; 14')] of the surface [(2; 3)], which are arranged on a circular ring around the center point [(18)] of the coin and which have microscopically fine relief structures [(8)] with a diffraction action and which form an optically machine-readable identification, [characterised in that] wherein the relief structures [(8)] in the fields [(14; 14')] are gratings [(13)] which are of the same spatial frequency [f] (f), and that the relief structures [(8)] differ by their azimuth ( $\Omega$ ) relative to the radial direction and/or by a symmetrical or asymmetrical relief profile.

2. (Amended) A coin [(1)] having a metal surface [(2; 3)] structured with macroscopic reliefs [(5)] for the representation of motifs which serve to specify the coin value and as a recognition feature, and fields [(10; 11; 12; 14; 14'; 20)] of the surface [(2; 3)], of which at least one has a microscopically fine relief structure [(8)] with a diffraction action and which form an optically machine-readable identification, [characterised in that] wherein the relief structures [(8)] of the identification are selected from M groups of gratings [(13)], that the grating vectors [(79)] of all gratings [(13)] of the M groups are radially oriented, that in each of the M groups the spatial frequency [f] (f) of the relief structure [(8)] is selected in dependence on the radial spacing (R) of the field [(10; 11; 12; 14; 14'; 20)] from the center point [(18)] of the coin [(1)] such that upon illumination of the relief structure [(8)] by means of a light source [(21)] in point form arranged perpendicularly above the center point [(18)], with the wavelength ( $\lambda$ ), one of the two partial beams [(29; 30; 84)] of the diffracted light crosses the center point [(18)] at a spacing ( $h_D$ ) which is predetermined for said group.

3. (Amended) A coin [(1)] as set forth in claim 1 [or claim 2 characterised in that] wherein the macroscopic relief structures [(8)] are arranged on the bottom of recesses [(7)] let into the surface [(2; 3)] of the coin [(1)].

4. (Amended) A coin [(1)] as set forth in claim 3 [characterised in that] wherein arranged in the recesses [(7)] is a suitable portion of a plastic material laminate containing the relief structures [(8)].

5. (Amended) A coin [(1)] as set forth in [one of claims 1 through 3 characterised in that] claim 1, wherein the microscopic relief structures [(8)] are formed directly in the surface [(2; 3)] in the fields [(10; 11; 12; 14; 14'; 20)].

6. (Amended) A coin [(1)] as set forth in [one of claims 1 through 5 characterised in that] claim 1, wherein the microscopic relief structures [(8)] are covered over with a transparent protective lacquer [(9)] which fills the grooves of the relief structures.

7. (Amended) A coin tester comprising a reading device [(19; 36)] which includes light sources [(21)], photodetectors [(22)] and an electronic circuit [(25)] connected to the light sources [(21)] and the photodetectors [(22)] and which is adapted for machine checking of the identification with relief structures [(8)] of a coin [(1)] rolling or sliding in a coin passage [(15)] on a rolling surface [(81)], as set forth in claim 1, [characterised in that] wherein a light source [(21)] is arranged for illuminating a surface [(2; 3)] of the coin [(1)] with approximately monochromatic light laterally in relation to the coin passage [(15)], that a chord of the coin [(1)] which is 1.5 mm wide maximum and which is perpendicular to the rolling plane [(81)] is illuminated with the perpendicularly incident light beams [(34)], that at least one photodetector [(22)] is associated with each relative azimuth ( $\Omega$ ) of the gratings [(13)], which is admissible for identification of the coins [(1)], that a diffractive optical element [(33)] for deflection of partial beams [(29; 30)] of the diffracted light of a field [(14, 14')] illuminated in the region of the chord at the height (H) is arranged between the coin passage [(15)] and the photodetectors [(22)] and

that the diffractive optical element [(33)] is adapted to rotate the diffraction plane defined by the partial beams [(29; 30)] through a rolling angle ( $\beta$ ) dependent on the height (H) with an axis of rotation parallel to the light beams [(34)] upon the passage through the diffractive optical element [(33)], in such a way that after said passage the partial beams [(29; 30)] are oriented on to at least one photodetector [(22)] associated with the azimuth ( $\Omega$ ).

8. (Amended) A coin tester as set forth in claim 7 [characterised in that] wherein a pair of photodetectors [(22)] is associated with each admissible relative azimuth ( $\Omega$ ), that after rotation of the diffraction plane to compensate for the rolling angle ( $\beta$ ) each of the two partial beams [(29; 30)] is oriented on to one of the two photodetectors [(22)] of the pair associated with the predetermined relative azimuth ( $\Omega$ ), and that the electronic circuit [(25)] is adapted by way of the photodetectors [(22)] to detect asymmetry of the intensity of the two partial beams [(29; 30)].

9. (Amended) A coin tester comprising a reading device [(19; 36)] which includes light sources [(21)], photodetectors [(22)] and an electronic circuit [(25)] connected to the light sources [(21)] and the photodetectors [(22)] and which is adapted for machine checking of the identification with relief structures [(8)] of a coin [(1)] rolling or sliding in a coin passage [(15)] on a rolling surface [(81)], as set forth in claim 2, [characterised in that] wherein an optical axis [(80)] of the reading device [(19; 36)] is established by at least one photodetector [(22)] and at least one light source [(21)] in point form, that the optical axis [(80)] is oriented perpendicularly with respect to a side wall [(16; 17)] of the coin passage [(15)] and is at a spacing (a) from the rolling surface [(81)], which corresponds to the radius of the coin [(1)] to be tested, that the light source [(21)] is arranged at a spacing ( $h_0$ ) and each photodetector [(22)] is arranged at a spacing ( $h_D$ ) from the surface [(2; 3)] of the coin [(1)] such that monochromatic light of the wavelength  $\lambda$  emitted by the light source [(21)] is diffracted by at least one relief structure [(8)] of the coin [(1)] to be tested as a partial beam [(29; 84)] towards the optical axis [(80)] and is concentrated on the predetermined photodetector [(22)] arranged at the spacing ( $h_D$ ), and that the electronic circuit [(25)] is adapted to recognise the passage of the center point



[(18)] of the coin [(1)] through the optical axis [(80)] and the authenticity of the coin [(1)] from the electrical signals of the photodetectors [(22)], which signals are proportional to the intensity of the partial beam [(29; 84)].

10. (Amended) A coin tester as set forth in [one of claims 7 through 9 characterised in that] claim 7, wherein the monochromatic light beam [(34)] from the light source [(21)] is of a wavelength ( $\lambda$ ) from a number of predetermined wavelengths ( $\lambda_1, \lambda_2$ ), and that a command of the electronic circuit [(25)] to the light source [(21)] determines the wavelength ( $\lambda$ ) of the emitted light beam [(34)].

11. (Amended) A method of applying a microscopic relief structure [(8)] to a comparatively hard material surface [(2, 3)], [characterised in that] wherein the microscopic relief structure [(8)] is produced by the removal of material by means of exposure of the material surface [(2, 3)] with a laser beam.

12. (Amended) A method as set forth in claim 11 [characterised in that] wherein the laser beam passes a mask [(42)] determining the form of the microscopic relief structure [(8)] and then an optical image-forming system [(44)] for reduction purposes.

13. (Amended) A method as set forth in claim 11 [characterised in that] wherein the laser in accordance with the method of dual beam interference produces on the material surface [(2; 3)] a microscopically fine interference pattern of a predetermined spatial frequency [f] (f) and the material of the surface [(2; 3)] is removed at the locations of increased intensity in the interference pattern to produce the microscopic relief structure [(8)].

14. (Amended) A method of applying a microscopic relief structure [(8)] to a comparatively hard material surface [(2, 3), characterised by the following steps] comprising:  
applying a thin light-sensitive plastic material layer to the material surface [(2, 3)],

exposing and developing the plastic material layer so that microscopically fine locations of the material surface [(2, 3)] are free of plastic material,

etching the material surface [(2, 3)], with the microscopic relief structure [(8)] being formed, and

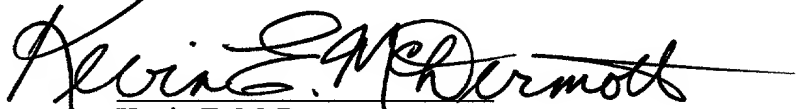
removing the plastic material layer.

15. (Amended) A method as set forth in [one of claims 11 through 14 characterised in that] claim 11, wherein the material surface [(2, 3)] with the previously produced relief structures [(8)] is hardened by nitriding.

**REMARKS**

Applicants believe that the claims as amended are now in the proper form and respectfully request early examination.

Respectfully submitted,



Kevin E. McDermott

Registration No.: 35,946

Attorney for Applicants

HOFFMANN & BARON, LLP  
6900 Jericho Turnpike  
Syosset, New York 11791  
(516) 822-3550

141238\_1.DOC